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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	10/006,489	
	<b>Filing Date</b>	December 6, 2001	
	<b>First Named Inventor</b>	Dr. Roger O. WILLIAMS	
	<b>Group Art Unit</b>	3752	
	<b>Examiner Name</b>	Not Yet Assigned	
<b>Total Number of Pages in This Submission</b>	14 pages + 113 refs.	<b>Attorney Docket Number</b>	514542001000

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Form PTO-1449 + duplicate copy - 10 pages
<input checked="" type="checkbox"/> Information Disclosure Statement - 3-pages	<input type="checkbox"/> Request for Refund	2. One hundred thirteen (113) references
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Return receipt postcard
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual Name</b>	MORRISON & FOERSTER LLP Johney U. Han - 45,565	 * 2 5 2 2 6 *
<b>Signature</b>		
<b>Date</b>	June 25, 2003	

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 333857341 US, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: June 25, 2003

Signature: (Tamara Alcaraz)

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Dated June 5, 2003

Signature: \_\_\_\_\_

(Tamara Alcaraz)

*S. Little*  
7-16-03

PATENT  
Docket No. 514542001000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Roger O. WILLIAMS, et al

Serial No.: 10/006,489

Filing Date: December 6, 2001

For: APPARATUS AND METHOD FOR  
DROPLET STEERING

Examiner: Not Yet Assigned

Group Art Unit: 3752

*#6/344*  
*IDS*

SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98

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Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Supplemental Information Disclosure Statement is submitted:

- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

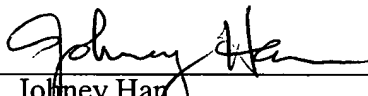
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 514542001000. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: June 25, 2003

Respectfully submitted,

By:   
Johny Han  
Registration No. 45,565

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Form PTO/SB-1449

Docket Number 514542001000

Application Number 10/006,489

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Applicant

Roger O. WILLIAMS, et al

Filing Date December 6, 2001

Group Art Unit 3752

Mailing Date June 25, 2003

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	03/28/2002	2002/0037375	Ellson et al.			
	2.	03/28/2002	2002/0037527	Ellson et al.			
	3.	03/28/2002	2002/0037579	Ellson et al.			
	4.	04/11/2002	2002/0042077	Ellson			
	5.	05/23/2002	2002/0061258	Mutz et al.			
	6.	05/23/2002	2002/0061598	Mutz et al.			
	7.	05/30/2002	2002/0064808	Mutz et al.			
	8.	05/30/2002	2002/0064809	Mutz et al.			
	9.	07/04/2002	2002/0085063	Mutz et al.			
	10.	07/04/2002	2002/0086319	Ellson et al.			
	11.	07/11/2002	2002/0090720	Mutz et al.			
	12.	10/03/2002	2002/0142286	Mutz et al.			
	13.	10/24/2002	2002/0155231	Ellson et al.			
	14.	09/09/1975	3,903,990	Tannaka			
	15.	09/30/1980	4,225,951	Menin et al.			
	16.	12/29/1981	4,308,547	Lovelady et al.			
	17.	05/24/1983	4,385,255	Yamaguchi et al.			
	18.	08/12/1986	4,605,009	Pourcelot et al.			
	19.	09/29/1987	4,697,195	Quate et al.			
	20.	01/12/1988	4,719,476	Elrod et al.			
	21.	01/12/1988	4,719,480	Elrod et al.			
	22.	05/17/1988	4,745,419	Quate et al.			
	23.	05/31/1988	4,748,461	Elrod			
	24.	06/07/1988	4,749,900	Hadimioglu et al.			
	25.	06/14/1988	4,751,529	Elrod et al.			
	26.	06/14/1988	4,751,534	Elrod et al.			
	27.	11/01/1988	4,782,350	Smith et al.			

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PTO/SB/08 (2-92)

Sheet 2 of 5

Form PTO-1449

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514542001000

Application Number 10/006,489

Applicant

Roger O. WILLIAMS, et al

Filing Date December 6, 2001

Group Art Unit 3752

Mailing Date June 25, 2003

28.	01/10/1989	4,797,693	Quate			
29.	01/31/1989	4,801,950	Frehling			
30.	01/31/1989	4,801,953	Quate			
31.	09/19/1989	4,867,517	Rawson			
32.	09/25/1990	4,959,674	Khri-Yakub et al.			
33.	07/02/1991	5,028,937	Khri-Yakub et al.			
34.	08/20/1991	5,041,849	Quate et al.			
35.	12/03/1991	5,070,488	Fukushima et al.			
36.	12/24/1991	5,074,649	Hamanaka			
37.	02/11/1992	5,087,931	Rawson			
38.	05/05/1992	5,111,220	Hadimioglu et al.			
39.	05/26/1992	5,115,809	Saitoh et al.			
40.	06/09/1992	5,121,141	Hadimoglu et al.			
41.	06/16/1992	5,122,818	Elrod et al.			
42.	08/25/1992	5,142,307	Elrod et al.			
43.	11/17/1992	5,163,436	Saitoh et al.			
44.	01/05/1993	5,176,140	Kami et al.			
45.	03/02/1993	5,191,354	Quate			
46.	03/16/1993	5,194,880	Elrod et al.			
47.	06/01/1993	5,216,451	Rawson et al.			
48.	07/20/1993	5,229,793	Hadimioglu et al.			
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50.	12/07/1993	5,268,610	Hadimioglu et al.			
51.	01/11/1994	5,278,028	Hadimioglu et al.			
52.	02/15/1994	5,287,126	Quate			
53.	04/05/1994	5,299,578	Rotteveel et al.			
54.	04/19/1994	5,305,016	Quate			
55.	08/16/1994	5,339,101	Rawson et al.			
56.	02/14/1995	5,389,956	Hadimioglu et al.			
57.	06/27/1995	5,428,381	Hadimioglu et al.			
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Sheet 3 of 5

Form PTO-1449

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514542001000

Application Number 10/006,489

Applicant

Roger O. WILLIAMS, et al

Filing Date December 6, 2001

Group Art Unit 3752

Mailing Date June 25, 2003

59.	04/02/1996	5,504,564	Snelling et al.			
60.	05/28/1996	5,520,715	Oeftering			
61.	07/30/1996	5,541,627	Quate			
62.	10/15/1996	5,565,113	Hadimioglu et al.			
63.	12/31/1996	5,589,864	Hadimioglu			
64.	01/07/1997	5,591,490	Quate			
65.	03/04/1997	5,608,433	Quate			
66.	03/18/1997	5,612,723	Shimura et al.			
67.	05/13/1997	5,629,724	Elrod et al.			
68.	05/20/1997	5,631,678	Hadimioglu et al.			
69.	09/23/1997	5,669,389	Rotteveel et al.			
70.	09/23/1997	5,669,971	Bok et al.			
71.	11/11/1997	5,686,945	Quate et al.			
72.	11/25/1997	5,692,068	Bryenton et al.			
73.	01/20/1998	5,709,737	Malhotra et al.			
74.	03/03/1998	5,722,479	Oeftering			
75.	08/25/1998	5,798,779	Nakayasu et al.			
76.	09/15/1998	5,808,636	Stearns			
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78.	10/13/1998	5,821,958	Lim			
79.	06/15/1999	5,912,679	Takayama et al.			
80.	12/21/1999	6,003,388	Oeftering			
81.	12/28/1999	6,007,183	Horine			
82.	01/18/2000	6,015,880	Baldeschwieler et al.			
83.	02/01/2000	6,019,814	Horine			
84.	02/29/2000	6,029,518	Oeftering			
85.	03/21/2000	6,038,752	Finsternwald et al.			
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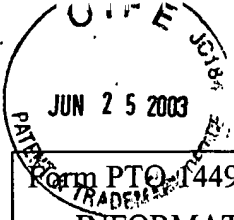
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TRADEMARKINFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514542001000

Application Number 10/006,489

Applicant

Roger O. WILLIAMS, et al

Filing Date December 6, 2001

Group Art Unit 3752

Mailing Date June 25, 2003

	89.	11/07/2000	6,142,618	Smith et al.			
	90.	11/28/2000	6,154,236	Roy et al.			
	91.	02/13/2001	6,187,211	Smith et al.			
	92.	03/13/2001	6,200,491	Zesch et al.			
	93.	10/09/2001	6,299,272	Baker et al.			
	94.	11/06/2001	6,312,121	Smith et al.			
	95.	01/08/2002	6,336,696	Ellson et al.			
	96.	04/09/2002	6,368,482	Oeftering et al.			

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Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	97.	06/30/1993	EP 0 549 244	Europe			
	98.	06/03/1998	EP 0 845 357	Europe			
	99.	03/28/2002	WO 02/24323	WIPO			
	100.	03/28/2002	WO 02/24324	WIPO			
	101.	04/04/2002	WO 02/26394	WIPO			
	102.	04/04/2002	WO 02/26756	WIPO			
	103.	06/06/2002	WO 02/44319	WIPO			
	104.	06/13/2002	WO 02/47075	WIPO			
	105.	08/29/2002	WO 02/066713	WIPO			

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## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	106.	Goldmann, T. and Gonzalez, J. S. (March 2000). "DNA-Printing: Utilization of a Standard Inkjet Printer for the Transfer of Nucleic Acids to Solid Supports," <i>J. Biochem. Biophys. Methods</i> 42(3):105-110.
	107.	Lemieux, B. et al. (1998). "Overview of DNA Chip Technology," <i>Molecular Breeding</i> 4:277-289.
	108.	Lemmo, A.V. et al. (February 1997). "Characterization of an Inkjet Chemical Microdispenser for Combinatorial Library Synthesis," <i>Analytical Chemistry</i> 69(4):543-551.

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Form PTO-1449 <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary) JUN 25 2003 PATENT & TRADEMARK OFFICE	Docket Number 514542001000	Application Number 10/006,489
	Applicant Roger O. WILLIAMS, et al	
	Filing Date December 6, 2001	Group Art Unit 3752
	Mailing Date June 25, 2003	

109.	NASA, Lewis Research Center, (October 2001). "Technology Opportunity: Acoustic Micro-Dispensing," <i>Combustion &amp; Fluids TOP3-00130</i> . Located at <a href="http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(111;20221218;1)">http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(111;20221218;1)</a> Last visited on 9/4/2002. (2 pages).
110.	NASA, Glenn Research Center, "Acoustic Liquid Manipulation Improves Selective Plating Process," <i>Nasa Glenn Success Stories</i> , located at <a href="http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(22;20221218;1)">http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(22;20221218;1)</a> Last visited on June 16, 2003. (1 page).
111.	NASA, Glenn Research Center, "Acoustically Enhanced Electroplating Process," <i>Nasa Glenn Success Stories</i> , located at <a href="http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(22;20221218;1)">http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(22;20221218;1)</a> Last visited on June 16, 2003. (1 page).
112.	NASA, Lewis Research Center, (August 1998). "Technology Opportunity: The Directional Electrostatic Accretion Process," <i>Materials &amp; Structures MS-200-1</i> , located at <a href="http://technology.nasa.gov/scripts/nls_ax.dll/twdispMatches(111;20221218;1)">http://technology.nasa.gov/scripts/nls_ax.dll/twdispMatches(111;20221218;1)</a> Last visited on June 16, 2003. (2 pages).
113.	NASA, Lewis Research Center, (August 1998). "Technology Opportunity: Liquid Manipulation by Acoustic Radiation Pressure," <i>Combustion &amp; Fluids CF-070-1</i> , located at <a href="http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(111;20221218;1)">http://technology.nasa.gov/scripts/nls_ax.dll/twDispMatches(111;20221218;1)</a> Last visited on June 16, 2003. (2 pages).

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